



Office of Research

SUBJECT: Standard Operating Procedure for No-Cost Extensions	Effective date: 02/25/2019	Policy Number:	
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	Responsible Authorities: Associate Vice President of Research Director of Sponsored Programs		

Purpose: The purpose of this policy is to provide guidance for collaborating with the Office of Research to obtain a No-Cost Extension (NCE) for a sponsored project.

Policy: The Office of Research will review, approve, and process No-Cost Extension (NCE) requests that fall within the applicable guidelines and meet the internal/external documentation requirements.

Definitions (*in alphabetical order by term*):

- **Business Unit** – College, department, institute or center that may choose to request an NCE.
- **No-Cost Extension (NCE)** – Change to the project end date that ultimately extends the project period without adding funds to the award.
- **Principal Investigator (PI)** – Individual who oversees the project, assumes responsibility for all aspects of his/her project (including financial activities), and receives authorization to communicate with the sponsor on technical/scientific aspects of the project only.
- **Project Period** – Timeframe established in the award document during which the awarding agency sponsorship begins and ends.

Background: When implementation plans change due to unforeseen circumstances or unanticipated delays occur, a Principal Investigator (PI) may determine that a No-Cost Extension (NCE) is necessary for project success. NCE standards and processes run a broad gamut across sponsors. However, one generally unacceptable reason for an NCE request is merely to use the unexpended balance. Sponsors require a programmatic justification for the NCE. Certain Federal Demonstration Partnership (FDP) sponsoring agencies allow the recipient institution to grant itself a one-time, one-year NCE. In the case of NSF, an FDP participant, grantee-approved NCE requests follow an online submission process that still involves entry of an NCE rationale and execution of internal approvals. Examples of appropriate explanations might include “late receipt of required materials or government authorization to proceed” or “Task #1 took longer than originally estimated due to hiring issues.”

Sponsors may entertain NCE requests only during a very specific window within the project period (e.g. no sooner than 90 days before and no later than 45 days before the original end date). It is the PI’s responsibility to monitor project activities to ascertain the need for an NCE and arrange to request the NCE in sufficient time for review.

Considerations: The Office of Research will process No-Cost Extension (NCE) requests under the following conditions:

- The PI or the PI’s/project’s business unit submits a complete NCE request.
- The NCE is allowable, and the request complies with the applicable sponsor guidelines.
- The request meets the internal/external documentation requirements.
- A detailed programmatic justification (clearly focused on adequate completion of the original scope of work within the funds already made available), revised end date, and remaining balance appear within the request.

Procedures:

1. The PI/business unit will compile a No-Cost Extension (NCE) request that includes the identifiers (account number, PI name, etc.); the programmatic justification for the additional time; and the revised end date.
2. The PI/business unit will submit the NCE request to osp@ucf.edu for review and processing.
3. The Office of Research will review and respond to the request within five (5) business days of receipt.
 - 3a. The Office of Research will return to the PI/business unit any deficient requests with explanation.
 - 3b. If the NCE request meets the prescribed conditions, the Office of Research will submit the official request to the sponsor with a copy to the PI/business unit and place the project in "Extension Pending" status.
4. Once the sponsor response arrives, the Office of Research will forward a copy to the PI/business unit.
 - 4a. If the sponsor denies the request, the status will revert to "Funded" and the project will close on its original end date.
 - 4b. If approved, the Office of Research award manager will revise the end date and other affected data items (e.g. deliverable deadlines) within the system and notify the PI/business unit of the changes.

Process Metrics

- PI/Business unit will request NCE in accordance with agency guidance for NCE requests, when specified, or in sufficient time for processing, when no written guidance is supplied (typically 60 days prior to end date.)
- OSP Inbox moderator will assign task within one business day of receipt of request
- Office of Research Award Manager will review and respond to request within five business days of receipt of request.

POLICY APPROVAL

Initiating Authority

Signature: _____

Dorothy Yates, Associate Vice President for Research

Date: _____

2/25/19